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## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

## PATENT APPLICATION

Applicant : Andrew C. Gilbert  
Application No. : 10/042,371 Confirmation No.: 6761  
Filed : December 27, 2001  
For : SYSTEMS AND METHODS FOR CREATING AND  
TRADING DYNAMIC SECURITIES  
Group Art Unit : 2164  
Examiner : Not Yet Assigned

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FEB 04 2003

OFFICE OF PETITIONS

New York, New York 10020  
January 22, 2003

Hon. Commissioner for Patents  
P.O. Box 2327  
Arlington, Virginia 22202

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JAN 31 2003

GROUP 3600

PRELIMINARY AMENDMENT

Sir:

Preliminary to examination of the above-identified  
application, please amend the application as follows:

In the Claims:

Please replace claims 12-17 with the following  
amended versions of those claims.